

**Public Transportation
and Rail Division**

**Applicant's Guide to
FTA Section 5310
Grant Program**

January 1, 2002 – June 30, 2003



**Washington State
Department of Transportation**

Americans with Disabilities Act (ADA) Information

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In cooperating with the
United States Department of Transportation,
Federal Transit Administration

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Chapter 1

Overview of the 5310 Grant Program

Introduction

This chapter contains general information on the Federal Transit Administration's (FTA) 5310 Grant Program. The 5310 Grant Program provides capital assistance to private, nonprofit corporations and selected county governments who provide transportation services to elderly persons and/or persons with disabilities.

This federal program is administered by the Washington State Department of Transportation (WSDOT). The assistance consists of an 80 percent federal contribution toward eligible capital purchases. A 20 percent minimum local cash match is required from the applicant. The assistance can be used only toward the purchase of capital equipment, such as ADA accessible vehicles and FM mobile radio units and base stations.

Who can apply for a 5310 grant?

Only *private, nonprofit corporations, selected brokers, and selected county governments* may apply for assistance under the 5310 Grant Program.

Private, nonprofit corporation

Private, nonprofit corporation is any organization not organized for profit but operated exclusively for the promotion of social welfare, no part of the net earnings of which benefits any private shareholder or individual. These organizations include as members of their clientele, disabled and elderly individuals. Eligible agencies must also comply with the requirements of Section 501(c)(3) or (4) of the United States Internal Revenue Code.

Selected brokers

Selected brokers are those public bodies authorized to coordinate services for elderly persons and persons with disabilities through the state's Medical Assistance Administration's Transportation program. The selected brokers are: Human Services Council, Vancouver; Northwest Regional Council, Bellingham; and the Snohomish County Human Services Department, Everett.

Selected government agencies

Selected government agencies are those counties who are not currently served either by a public transit agency or a non-profit agency providing dial-a-ride services. In addition, Tribal governments who have obtained 501(c)(3) status are also eligible to receive funding under this program

☛ **Note:** Selected government agencies must conduct public hearings prior to submitting the application. Minutes from the hearing will be a required attachment. For more information, contact the Public Transportation Office.

To be considered, applicants must be qualified

As part of the grant application process, applicants must document their willingness to comply with various federal regulations and their ability to implement their proposal if a grant is awarded. For information on how applicants demonstrate their fitness, in Chapter 3, Preparing for a Grant application, see instructions for gathering assurances and certifications.

After applications are submitted, the WSDOT Grants Manager will review each application to ensure the applicant's qualifications and ability to participate in the program. Applications received from organizations who are not clearly qualified will be dropped from further consideration.

☛ **Note:** The assurances and certifications are due at the time the application is submitted. Applications received without the proper documentation will not be accepted and will be dropped from further consideration.

What are the limitations and requirements?

To be eligible for funding under the 5310 Grant Program, applicants and projects must meet eligibility requirements. There are also limitations on how the funds may be used and numerous state and federal obligations that must be met during the application and implementation phases. Some of those requirements are listed below and are described in the following pages:

- Eligibility criteria for applicants
- Eligibility criteria for projects
- Requirements for matching funds
- Requirements that must be met during the application process and project implementation

What types of projects are eligible?

Eligible projects under this program include the following types of purchases:


- Wheelchair accessible vehicles
- Two way mobile radios and base stations, and other communications devices for the vehicles
- Ridership data systems
- Personal computers
- Refurbishment of wheelchair accessible vehicles

All purchases under the 5310 program must be directly related to passenger transportation for elderly and persons with disabilities.

How must the equipment be used?

Equipment acquired under the 5310 Grant Program may be used only in the following ways:

- By the grant recipient, as described in the application
- By the grant recipient, in coordinated services for a variety of elderly persons and/or persons with disabilities. It is understood that, at a minimum, the service that the applicant proposes to WSDOT will be provided and that the originally designated clientele will be served.
- By a public agency, a private for-profit agency, or another private, nonprofit operator, by lease or other contractual agreement with the applicant, for the services identified in the grant application only. Vehicles may be leased to private for-profit companies where such companies could not otherwise provide required services and where such arrangements result in more efficient and effective service for elderly persons and persons with disabilities.
- Provide a minimum of 100 passenger services miles per week per vehicle.
- In coordination with other federal programs so long as the services provided do not displace services provided to elderly and disabled persons.

 **Note:** When vehicles or other equipment are operated by anyone other than the grant recipient, operating control of the vehicles or other equipment must remain with the original grant recipient, unless transfer of the control and responsibility is to another eligible recipient as authorized in writing in advance by WSDOT.

The above does not limit the ability of a grant recipient to contract with anyone for such services as maintenance, repair, use of garage or facilities, or assistance in routing and scheduling.

What are the requirements for matching funds?

Grants are made for 80 percent of the purchase price of the equipment, including any sales tax and any travel costs related to pre-delivery vehicle inspection. All payments are made on a reimbursable basis only. Applicants must supply the 20 percent balance of the purchase price with money that is *unrestricted*.

Unrestricted means the provider of the money has placed no restrictions on the money such as:

- retaining title to the equipment as collateral
- limiting the use of the equipment for elderly persons or certain types of persons with disabilities
- subjecting the money to any conditions that are contrary to the 5310 Grant program

Funds derived from federal sources are not eligible to be used for match.

What passengers are eligible for service?

The primary transportation services provided with the equipment purchased must be for *elderly* and/or *persons with disabilities*. However, project equipment may be used in coordination with other federal passenger transportation programs so long as the services provided under those programs does not displace services provided to elderly and/or disabled persons.

Elderly persons includes all individuals aged 60 years or older.

Disabled persons have a physical or mental impairment that substantially limits one or more of their major life activities, including: caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and work; or being regarded as having such as an impairment.

Physical or mental impairment includes: any physiological disorder of condition, cosmetic disfigurement, or anatomical loss affecting one or more body system; any mental or psychological disorder; and certain contagious or non-contagious diseases and conditions.

A more complete definition of disability appears in 49 CFR 37.3, which carries out the provisions of the Americans with Disabilities Act with regard to transportation services.

☛ **Note:** School children are eligible passengers only if they are disabled.

Need help?

For clarification regarding the application questions, program requirements, or assistance in preparing the application, contact Valerie Rodman at (360) 705-7979 or rodmanv@wsdot.wa.gov

Chapter 2

The Grants Process - What happens when

This chapter outlines the steps and scheduling as you apply for a grant. The steps and scheduling are also illustrated in Figure 2.1, *What Happens When in the 5310 Grant Program*.

For important background information on a grant application, see Chapter 3 of this guide, "Preparing for a Grant Application."

For detailed instructions on the application form, see Chapter 4 of this guide, "Submitting a Grant Application."

Applications are available

Applications became available in April of 2001 for January 1, 2002 to June 30, 2003 funding.

WSDOT conducts Regional Applicant Meetings and Grant Writing Workshop

WSDOT will conduct Regional Applicant Meetings and a Grant Writing Workshop between May and June of 2001.

What is the purpose?

At the meetings Public Transportation Office staff will provide technical assistance to prospective applicants. Topics to be covered include what's new on the application form and updates on grant program requirements. The Grant Writing Workshop will provide tools for writing a more successful application.

Who should attend?

Staff members at all levels are welcome to attend. However, you are encouraged to send representative(s) who are directly responsible for writing your grant application and assembling the information for your proposal.

When and where will the Regional Meetings and workshop be held?

Regional Meetings

Spokane	May 15, 2001	1:00-3:00 p.m.	Spokane Public Library 906 W. Main, Room 1B
SeaTac	June 5, 2001	10:00-11:00 a.m.	SeaTac Super 8 3100 S. 192 nd Street
Ellensburg	June 12, 2001	1:00-3:00 p.m.	Hal Holmes Community Center 201 North Ruby

Grant Writing Workshop

SeaTac	June 5, 2001	11:00-3:00 p.m.	SeaTac Super 8 3100 S. 192 nd Street
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☛ **Note:** Attendance, while not required, is strongly encouraged. Valuable information will be provided on tools to write a more successful proposal.

Selected government agencies hold public hearings

Applicants that are "Selected Government agencies" are required to hold a public hearing prior to submitting an application. This chapter does not apply to private non-profit agencies.

Remember to give advance notice of your public hearing

Applicants are required to give two types of notice for the public hearing:

- Publish a legal notice at least three weeks in advance (contact the Public Transportation Office for a sample notice).
- Notify WSDOT at least two weeks in advance as to the date, time, and location of the hearing. This must be done in writing to Ginny Morin at the Public Transportation Office. You may also send your notification by facsimile: (360) 705-6820, or e-mail: moring@wsdot.wa.gov

Assurances and certifications are gathered

As part of the grant application, applicants must document their qualifications to implement their proposal. Applicants demonstrate their fitness through completing a series of required *assurances and certifications*. For the requirements, see Chapter 3, "Preparing for A Grant Application."

☛ **Note:** Assurances and certifications are due when you submit your application to WSDOT.

Applications are submitted

Applications for the 5310 Grant Program are due by **5:00 P.M. Tuesday, July 31, 2001**. Applications received after that time **will not be considered** for funding.

For information about submitting your application, refer to Chapter 4, "Submitting a Grant Application."

Applications are evaluated

All eligible project applications will be evaluated according to the process described in Chapter 5, How Grants Are Awarded. After all projects have been evaluated and the federal allocation has been received by WSDOT, applicants will be notified of their project's status and position on the ranked listing

☛ **Note:** Successful applicants may be awarded all or part of their request.

Appeals may be submitted

If an application is returned without being considered, applicants may appeal WSDOT's determinations regarding acceptability. For information on how to submit an appeal, see Chapter 6, "Need Help with an Application?"

Applicants are notified

FTA funds the 5310 Grant Program; after allocating a certain amount for the program, FTA notifies WSDOT of this amount. After WSDOT has an allocation amount to work with, a project budget is developed based on the prioritized list and all applicants are notified as to the results of their application.

At this time, WSDOT will mail each prospective grantee a copy of a manual describing program requirements, *Guidebook for Managing 5310 and 5311 Assistance Grants*.

Finalists are forwarded to FTA

WSDOT assembles all recommended projects and their costs into a single application and submits it to the Federal Transit Administration (FTA) for approval. FTA must approve each project before any expenses may be incurred or obligated for a project, and be eligible for reimbursement.

Project agreements are executed

WSDOT and each applicant must execute a project agreement describing the terms and conditions of the grant.

Vehicle specifications are developed

Vehicle specifications must be written by the applicant and will be approved by WSDOT before bids are sought for purchase. These specifications may be completed while the grant agreement for the project is being signed, if not before.

For general information on this process, see Chapter 7, “About Purchasing Equipment—Some General Information.”

Bids are sought

All acquisitions over \$25,000 must be made through a structured bid process.

For general information on this process, see Chapter 7, “About Purchasing Equipment—Some General Information.”

Vehicles are delivered

The more conventional the equipment, the sooner the applicant can expect delivery. Large buses require as long as 12 months from bid award to delivery.

Figure 2.1. What Happens Next for Grantees?

MONTH	J	A	S	O	N	D	J	F	M	A	M	J	J
Applications due	X												
Grants are evaluated		X	X										
Grantees are notified				X	X								
Projects to FTA					X	X							
Project agreements							X	X	X				
Vehicle specifications						X							
Bid process							X	X	X	X			
Vans delivered												X	
Vehicles delivered													X
#of Months						3			6			9	12

Figure 2.1 This chart illustrates the approximate intervals between application for a grant and delivery of vehicles.

Approximate time intervals for applications

- From application to evaluation—1 month
- From application to forwarding of finalists to FTA—2 months
- From application to delivery of vans or minibuses—10 months
- From application to delivery of transit buses—12 months

Chapter 3

Preparing for a Grant Application

This chapter provides background information on how to prepare an application for the 5310 Grant Program. Read this information carefully before completing your grant application.

For detailed instructions on filling out the application form, refer to Chapter 4 of this guide, “Submitting a Grant Application.”

Requirements for your application

The application process includes several steps that will require advance planning in order for your grant proposal to succeed.

Submit separate applications for different projects

Submit separate applications for independent projects, different service areas and/or different types of equipment (that is, vehicle or non-vehicle).

Coordinate your services and funding

Historically coordination efforts have been the single most persuasive element in an application for financial assistance. Agencies applying for funding are expected to coordinate their services with other transportation providers in their area as well as agencies who may be able to use the services provided by the agency and/or provide financial assistance for those services.

Coordination is an ongoing process. It is important that you start your efforts early in the planning process for your project and include as many types of organizations as possible.

Your application form will require you to describe your efforts to coordinate your services and funding sources. You will also describe the benefits gained or expected as a result of these efforts.

➤ **Note:** All applicants are strongly encouraged to take part in the Agency Council on Coordinated Transportation (ACCT) Local Coordinating Coalition for their service area.

You may attach supporting documentation

Any letters of support received from these agencies or the general public may be attached to your application. You may also attach service area maps, pictures, or graphs relating to the project described in your application.

A current inventory is required

When applying for a 5310 grant, your organization is required to submit a Current Passenger Service Vehicle Inventory. Attach the inventory to your application on the form provided in the application packet.

A map of your service area is required

In addition to describing the services that you will provide, you are required to attach a map that shows the geographic area where your organization will providing service described in your application.

Planning is very important

To help your project be more competitive, you should include the project in any internal agency plans. In addition, applicants are encouraged to coordinate with local and regional planning organization, such as, city and county planning divisions and the Regional Transportation Planning Organizations (RTPOs) in their area to ensure that your project and/or the services you provide are incorporated into local, regional, and statewide planning documents.

Gathering the assurances and certifications

As part of the grant application, applicants must document their willingness to comply with various federal regulations and ability to implement their proposal if a grant is awarded. To demonstrate their fitness, applicants must supply the following *assurances and certifications* with their applications.

What documentation is required?

You must submit each of the documents below with your application.

- A copy of the determination letter from the Internal Revenue Service or a copy of the application for determination to the Internal Revenue Service*
- A copy of the current corporate annual report, as legally filed with the Secretary of the State of Washington*
- Proof of ability to insure drivers and equipment (current certificate of insurance)*
- WUTC Certificate (See Appendix C for information.)*
- Assurance of fiscal and managerial capability
- Certification regarding Debarment, Suspension, and other responsibility matters
- Certification regarding Procurement Compliance
- Certification of pre-award and post delivery review of rolling stock (vehicle applicants only)
- FTA Civil Rights Assurance

- Assurance of non-discrimination on the basis of disability
- Minority breakdown in service area
- Certification regarding the restrictions on lobbying (agencies requesting a total \$100,000 or more, in one or more applications)
- School bus Agreement
- Bus Testing Certification

How can those forms be obtained?

Forms for most of these items have been included in Appendix B of this guide. Items marked with an asterisk (*) must be supplied by your agency.

Assurances and certifications are due with grant

Assurances and certifications are due at the time the grant application is submitted to WSDOT.

☛ **Note:** Grant applications submitted without the required assurances, certifications, and other documents will be returned to the applicant and will not be evaluated.

Chapter 4

Submitting a Grant Application

This chapter provides:

- Detailed instructions for filling out the application form for the 5310 Grant Program
- Instructions for assembling your grant application
- Locations where you may submit your application

For information about how your grant will be evaluated, refer to Chapter 5 of this guide, “How Grants Are Awarded.”

Before filling out the application form

Before filling out the application form, be sure that you have read Chapter 1, “Overview of the 5310 Grant Program.” Among other information, Chapter 1 describes eligibility for the 5310 Grant Program.

For guidance on the work that must be done in advance, you should also read Chapter 3, “Preparing for a Grant Application.”

You may prepare your application electronically

This guide includes a copy of the application form (Appendix A); you may use this form to prepare your application. If you prefer to use an electronic version of the form:

- Download the form from the grants section of the Public Transportation Office's web site at <http://www.wsdot.wa.gov/pubtran> or
- Contact the Public Transportation Office and ask to have a disc mailed to you

However, use paper to submit your application

Applications must be submitted on paper with original signatures. WSDOT will not accept electronic submissions or facsimiles. In addition to the original paper version of the application, applicants must submit eight copies of their application and its attachments.

Contact us for Help

If you have any questions regarding these explanations or would like assistance in preparing your application, contact Ginny Morin at 360-705-6985 or e-mail moring@wsdot.wa.gov

Instructions for filling out the application form and helpful hints

This chapter provides an explanation on how to fill out your application and some insights on what types of information should be included.

Agency Information

Legal Name

List your organization's corporate name as on file with the Washington State Secretary of State's Office. If your agency or company has a "doing business as" name, please note this name after the corporate name.

Contact Person

Identify the person in your organization to whom all correspondence, questions, or notifications should be mailed. This person should have first-hand knowledge of the application's content and the services to be provided with the equipment requested.

Type of Applicant

Check the box that best describes your organization.

Type of Assistance Requested

Check the applicable box. The application form is also used for the 5311 Grant Program.

If applying for more than one type of funding, you must submit separate applications for each funding category.

Equipment Request

Description

- For vehicles, identify the type of vehicle (van, minibus, or bus), passenger capacity or vehicle size, and number of wheelchair tie-down positions requested (make and model is not applicable).
- If you intend to purchase used vehicles, note this on your application.
- For non-vehicle equipment, such as computers or bus shelters, describe the type of equipment requested.

Replace or Expand

Indicate whether this equipment is to be used for replacement of existing equipment or expansion of services.

Quantity

Enter the number of vehicles or other equipment items you are requesting.

Unit Cost

Enter the estimated price of each vehicle or other equipment item. Estimate prices at higher than the current market price as to allow for inflation. Equipment purchases may not be made until a grant is awarded.

Total Cost

Multiply the quantity by the unit cost.

☛ **Note:** Costs associated with licensing and obtaining a title for the vehicle are not eligible for reimbursement.

Sales Tax

For the purposes of estimating, use the sales tax rate charged in your area.

☛ **Note:** Vehicles carrying 15 passengers or less and to be used for transporting elderly and/or persons of disability are not subject to sales tax per RCW 82.08.0287.

To exercise this option, you must be issued rideshare plates by the Department of Licensing.

Pre-award Review

Enter the estimated cost for one or two people to make a factory visit which may be required for a vehicle purchase. If your application does not involve vehicles, leave this area blank.

Total

Enter the sum of all project costs.

Local Share

Enter the amount of the local share. There is a minimum required local match, 20 percent of the total project cost.

Federal Share

Enter the amount of the requested federal share. The requested federal share may not exceed 80 percent of the total project cost.

Agency Financial Needs

1. Why is the funding assistance needed?

Check mark all applicable boxes. Describe why your agency needs the funding assistance requested in this application. If you are replacing equipment, describe the condition of the equipment and why it should be replaced. If you are requesting equipment to expand your services, explain what steps your agency took to identify need in your service area for expanded services. Also explain why your agency needs financial assistance to purchase the equipment.

2. Does your ability to carry out this project depend on the success of any other 5310 or 5311 grant application?

If another application has been submitted and its success directly affects your ability to provide the services described in your application, then:

- Check the box titled “Yes”
- Identify the agency submitting that proposal
- Check the appropriate box for the type of assistance requested in that proposal
- Briefly describe how that proposal is related to this one

Description of Services

3. What passenger transportation services will be provided with equipment described in this application?

Fill in the blanks for Service Area, Days of the Week, and Hours. Describe the transportation services your agency provides or intends to provide with the funding and/or equipment requested in this application. Also attach a map of the service area.

4. Provide the service level information requested below

Provide the requested service information for 2000 (actual), 2001 (estimated), and January 1, 2002 to June 30, 2003 (projected).

5. How were the service level estimates developed

Describe what method(s) you used to generate the estimates you provided in question 4.

6. Why are the services needed and what are the expected benefits to the communities to be served

Explain why the services you described in question 3 are needed in the communities to be served.

7. How did your agency identify the need for the services described in question 3 of this application?

Explain what processes/methods your agency undertook to determine the need for passenger transportation services in the communities to be served.

8. Describe your efforts to identify and meet the transportation needs of persons with disabilities, and any concentration of ethnic minority people in the proposed service area

Describe what efforts you have made in identifying the transportation needs as they apply to disabled persons and minority populations in the service area. In addition, complete the requested passenger profile.

9. What efforts will be made to market your transportation services?

Describe your organization's marketing plan for the services described in question 3 of this application. 5311 applicants should complete sections A and B of this question. However, 5310 applicants are only required to complete section B.

10. What experience does your agency have in providing passenger transportation services?

Describe your agency's experience in providing passenger transportation. This should include how long you have been providing the services described in question 3 as well as other passenger transportation services your agency has provided.

11. What experience does your agency have in managing grant awards?

Describe the types of grant awards you have received in the past and what experience you have in managing the grants.

12. Describe your agency's preventative maintenance program.

This question applies to capital assistance applications only. Describe your agency's preventative maintenance steps in regard to the equipment you currently own or operate. Should your application be successful, the department will expect the maintenance program described will be carried out with the equipment granted to your agency.

13. What formal training do you provide your drivers and dispatchers?

Describe the type of training provided to transportation employees and volunteers and how frequently your agency updates the training.

14. Are the services described in this application included in any internal, local, regional, or statewide plan?

Check “Yes” or No.” If checking “Yes,” indicate what planning documents(s) your services and/or this project are contained in, and describe your organization’s project planning efforts.

15. Does your agency currently have formal Drug Abuse and Alcohol Misuse Testing policies?

Drug abuse and alcohol misuse testing is required for:

- All agencies operating vehicles with 15 or greater passenger capacity are required to comply with Federal Highway Administration testing policies
- Recipients of 5311 program funds must comply with Federal Transit Administration policies

If you need assistance developing these policies and procedures, contact the Public Transportation Office.

Project Budget

16. What are the total operating expenses for the passenger transportation services described in question 3 of the application?

Complete the information requested showing the total cost of operating your passenger transportation services and the total capital expenditures incurred or anticipated to be incurred by your agency in providing passenger transportation services in the area described in question 3 of this application.

☛ **Note:** Regardless of the type of assistance you are applying for, do not include any capital expenses in the budget.

17. What operating revenue do you expect for the transportation services described in question 3 of this application?

List all revenues received and those that are anticipated to be received by your agency for providing passenger transportation services in the service area described in question 3 of your application.

☛ **Note:** Do not include revenues that will be retained by your agency for transportation reserve accounts or revenues that have been designated to be used for capital purchases.

18. What was the balance in your agency’s transportation reserve funds as of December 31, 2000?

Identify the amount of funds retained by your agency in the reserve accounts shown.

19. What limitations, if any, apply to the use of the funds identified above?

If these funds have been restricted or obligated, briefly describe the restrictions that apply to the funds and/or the projects which will require the use of the funds.

☛ **Note:** Applicants for Capital Assistance - If you didn't have any reserve funds, explain how your agency will obtain the required matching funds for the project.

Coordination**20. Who have your met with in the last year to develop and coordinate services and funding?**

Place a check mark beside each type of organization your agency has met with in the last year to develop services and/or funding.

21. Describe the efforts you have made to coordinate with the entities identified above and the outcomes or products of these efforts.

Describe the efforts you made to coordinate your services and funding sources with the entities identified in the previous question. Also describe the benefits gained or expected as a result of these efforts. You may also attach any letters of support received from these agencies or the general public.

22. What are your future plans for coordination in regard to service development and funding resources?

Describe how your agency plans to develop funding sources and coordinate services.

23. Complete and attach the passenger service vehicle inventory form

All applicants must complete the passenger service inventory form regardless of the type of assistance being requested. In addition, capital applicants requesting replacement vehicles must identify which vehicle(s) they intend to replace if a grant is awarded.

24. Are the services described in this application included in any agency, local, regional, or statewide plan?

Check mark *Yes* or *No*. If checking *Yes*, indicate what planning document(s) your services and this project are contained in. Planning documents may include agency plans, plans prepared by local government agencies, regional plans prepared by Regional Transportation Planning Organizations (RTPOs) and Metropolitan Planning Organizations (MPOs), and statewide planning documents.

Instructions for assembling the grant application

When you have filled out your application form, you will assemble your grant application. Several steps are required.

Arrange for an authorized signatures

The application must be signed by someone authorized to make assurances of compliance for the applicant, such as the Board Chairperson or delegated authority. Applications signed by unauthorized individuals will not be accepted.

Remember that your certifications and assurances must also be signed by an authorized representative(s).

Remember that three attachments may be required

- Current Passenger Service Vehicle Inventory.
- Service area map(s)
- Minutes of the public hearing and a copy of the legal notice for the hearing. (Selected local governments only)

Other attachments are allowed

You may also attach other documentation supporting your proposal:

- Letters of support
- Pictures or graphs relating directly to the project described in this application
- Other attachments pertaining directly to the application

Use paper to submit your application

Applications must be submitted on paper with original signatures and must be accompanied by eight copies of the application and its attachments.

WSDOT will not accept electronic submissions or facsimiles. Applications submitted improperly will not be evaluated and will be returned to the applicant.

Final checklist for the application

Before submitting your application, review the contents. Your application must include:

- Your original application with an authorized signature
- Copy of current inventory of passenger service vehicles
- Copy of public hearing minutes (if required)
- Service area map
- Other allowable attachments such as supporting letters
- **Eight** complete copies of your application and attachments
- Certifications and assurances (with original application only)

When and where to submit the application

The deadline

Submit your completed application by **5 p.m., Tuesday, July 31, 2001.**

☛ **Note:** Applications received after the deadline will not be evaluated and will be returned to the applicant.

Where to submit your application

Your application may be submitted directly to the Public Transportation and Rail Division in Olympia or to any of WSDOT's Regional Highways and Local Programs Offices. The addresses are listed on the next page.

☛ **Note:** Some Highways and Local Programs offices close at 4:00 p.m. Please call ahead to ensure someone will be there to accept your application. Applications that are sent via U.S. mail, Federal Express, or UPS, should be sent directly to Ginny Morin.

Locations where you may submit your application

Ginny Morin - (360) 705-6985
WSDOT Headquarters Building
310 Maple Park, Room 1A18
P.O. Box 47387
Olympia, WA 98504-7387

Bill Pierce - (360) 905-2215
SW Region
Local Programs Office
4200 Main Street
Vancouver

Brent Rasmussen - (509) 324-6080
Eastern Region
Local Programs Office
3608 Division
Spokane

Stan Delzer - (509) 663-3090
N Central Region
Local Programs Office
1551 N Wenatchee Avenue
Wenatchee

Roger Arms - (509) 577-1780
South Central Regional
Local Programs Office
2809 Rudkin Road
Union Gap

Paul Johnson - (206) 440-4711
NW Region
Local Programs Office
15700 Dayton Avenue N, Sixth Floor
Seattle

Chapter 5

How Grants Are Awarded

Criteria for evaluating proposals

WSDOT has established specific criteria to be used by evaluation committee members when reviewing all proposals. Committee members are advised of this criteria at the time the evaluation materials are distributed to them. The criteria consists of the following:

- Does the proposal reflect coordination with, and in support of other transportation providers, including private sector transportation providers?
- Does the proposal commit a reasonable amount of funding to implement the project?
- How well will the project meet the transportation needs of the proposed population to be served?
- How secure is the fiscal capability of the applicant to maintain the proposed service levels?
- Has the applicant demonstrated that local resources and/or services are unavailable or inadequate?
- Does this proposal demonstrate commitment of transportation access for persons with disabilities?

How proposals are rated

The selection process consists of the following steps:

- An evaluation and selection committee is appointed.
- The committee assembles. Copies of all applications are distributed to them for review. They are instructed on the program criteria and how the process is performed. A date is established for the completion of the process.
- Each committee member compares each application to all other applications requesting the same type of funding. This process is described on the following page.

How the applications are compared against each other

1. Each application is assigned a number and placed on a grid which pairs it with each of the other applications received. (See example of grid below.)

Sample Scoring Grid

	1	2	3	4	5	6	7	8	9	10
2	1 2	-	-	-	-	-	-	-	-	-
3	1 3	2 3	-	-	-	-	-	-	-	-
4	1 4	2 4	3 4	-	-	-	-	-	-	-
5	1 5	2 5	3 5	4 5	-	-	-	-	-	-
6	1 6	2 6	3 6	4 6	5 6	-	-	-	-	-
7	1 7	2 7	3 7	4 7	5 7	6 7	-	-	-	-
8	1 8	2 8	3 8	4 8	5 8	6 8	7 8	-	-	-
9	1 9	2 9	3 9	4 9	5 9	6 9	7 9	8 9	-	-
10	1 10	2 10	3 10	4 10	5 10	6 10	7 10	8 10	9 10	-

Figure 5.1 This sample grid shows how all grant applications are given numbers and placed on a grid for evaluators to use in scoring.

2. Each evaluator compares application 1 to application 2, chooses the proposal that is more favorable and circles the corresponding number on the grid. Application 1 is then compared to application 3 and so on until it has been compared to all other proposals. This step is repeated with all other applications until each evaluator has compared all proposals. (See grid on the following page.)

Sample Scoring Grid Showing Ratings

	1	2	3	4	5	6	7	8	9	10
2	① 2	-	-	-	-	-	-	-	-	-
3	1 ③	2 ③	-	-	-	-	-	-	-	-
4	1 ④	2 ④	③ 4	-	-	-	-	-	-	-
5	1 ⑤	2 ⑤	3 ⑤	4 ⑤	-	-	-	-	-	-
6	① 6	2 ⑥	3 ⑥	④ 6	⑤ 6	-	-	-	-	-
7	1 ⑦	2 ⑦	3 ⑦	④ 7	⑤ 7	6 ⑦	-	-	-	-
8	1 ⑧	2 ⑧	3 ⑧	④ 8	⑤ 8	6 ⑧	7 ⑧	-	-	-
9	① 9	2 ⑨	3 ⑨	④ 9	⑤ 9	6 ⑨	⑦ 9	⑧ 9	-	-
10	① 10	2 ⑩	3 ⑩	④ 10	⑤ 10	⑥ 10	⑦ 10	⑧ 10	⑨ 10	-

Figure 5.2 This sample scoring grid shows how each grant application is compared against all other applications. In each comparison, the favorably rated application is circled.

- The scores are tallied based on the number of times each application was chosen in this process. The evaluation committee then reassembles to discuss their individual scores and come to a consensus on a prioritized list of projects. A recommendation is made to WSDOT for funding based on this prioritized list.

The selection process continues

After projects are rated and prioritized, the selection process continues:

- The prioritized list is reviewed and approved by WSDOT.
- After WSDOT has been notified of the allocation amount for the program, a project budget is developed based on the prioritized list and all applicants are notified about the results of their application.

For more information on the scheduling and sequence of events in the grants process, see Chapter 2, “The Grants Process.”

Chapter 6

Need Help with an Application?

Who to contact

For questions regarding this application guide, contact Valerie Rodman, Grant Programs Branch Manager, at 360-705-7979 or rodmanv@wsdot.wa.gov

Want an electronic file of the grant application?

If you prefer to use an electronic version of the form to prepare your application you may either:

- download the form from the grants section of the Public Transportation Office's web site at <http://www.wsdot.wa.gov/pubtran> or
- Contact the Public Transportation Office and ask to have a disc mailed to you

Need help preparing your proposal?

Members of WSDOT's Public Transportation and Rail Division staff will provide this assistance. Staff members who assist in preparing applications will not participate in the evaluation process of any of the applications. To request this type of assistance, contact Valerie Rodman at the phone number or e-mail listed above.

There is no assurance that WSDOT-assisted applications will compete more favorably than others.

If you want to submit an appeal

Applicants may appeal WSDOT's determinations regarding acceptability of applications. Applicants must submit appeals in writing to:

Public Transportation Office Manager
Public Transportation and Rail Division
Washington State Department of Transportation
P.O. Box 47387
Olympia WA 98504-7387

This appeal must be signed by the board chairperson and must identify the grounds for the appeal. The appeal must be delivered to the manager within seven calendar days of the applicant's receipt of WSDOT's written notice denying acceptance of its application. The manager will accept a facsimile of the appeal, provided it meets both content and timeliness requirements. Once the manager receives this appeal, the decision and associated procedures will be reviewed. The manager's decision will be final.

Chapter 7

About Purchasing Equipment

This Chapter provides general information to assist grantees in planning for an equipment purchase. The following information is covered:

- Developing equipment specifications
- Seeking bids
- Reviewing responsive bidders
- Post delivery vehicle inspections
- How to title vehicles purchased with grant funds

When will grantees receive more information?

After being notified of FTA funding for the 5310 Grant Program, each prospective grantee will receive a copy of WSDOT's *Guidebook for Managing 5310 and 5311 Grants*. That document provides detailed instructions for purchasing equipment.

Developing equipment specifications

To begin developing vehicle specifications, prospective grantees should contact dealers and manufacturers who might sell the category of equipment WSDOT has approved for the prospective grant.

All vehicles must be wheelchair accessible and otherwise be in compliance with vehicle standards of the Americans with Disabilities Act.

Specifications for vehicles (other than minivans) will include FTA's requirement for model testing at its facility in Altoona, Pennsylvania.

Whenever possible, grantees are encouraged to coordinate their specifications and bids with other agencies seeking to purchase the same type of equipment. For more information on coordinated bids, contact Paul Gamble at (360) 705-7912 or e-mail gamblep@wsdot.wa.gov

Need help developing specifications?

WSDOT has sample specifications for vehicles, but these are preliminary—not intended to be sufficiently current or comprehensive for specific applications.

On request, the Public Transportation Office will assist grantees in developing vehicle specifications.

When should specifications be developed?

Prospective grantees may begin developing the specifications once they are notified of a grant award. They must be completed by your agency and approved by WSDOT prior to seeking bids for the equipment purchases.

Seeking bids

All acquisitions over \$25,000 must be made through a structured bid process with awards made on the basis of lowest responsive bid. For details on the bid process, see *Guidebook for Managing 5310 and 5311 Grants*.

After receiving WSDOT's concurrence in the specifications, as well as the bidding process, prospective grantees request bids for the equipment being sought.

➤ **Note:** Prospective grantees may open bids before executing WSDOT's grant agreement. However, only bids awarded after executing WSDOT's grant agreement are eligible for grant reimbursement.

About used vehicles

If you intend to purchase used vehicles, you must indicate your intentions on your application.

Used vehicles may be acquired once a fair value has been verified by two independent expert appraisers.

Conducting Reviews and Inspections

Grantees are required to conduct pre-bid award reviews of the responsive bidder having the lowest bid price of the specified vehicle and post-delivery inspections of the equipment purchased.

Review prior to awarding a bid

Vehicle purchases are subject to pre-award review by the prospective grantee. Under most circumstances, the audit is an in-person visit to the responsive manufacturer—not the dealer—of the lowest price vehicle bid. This visit verifies the manufacturer's ability to comply with FTA's *Buy America* mandate, *Federal Motor Vehicle Safety Standards*, Bus testing requirements, and the prospective grantee's own specifications.

Who should travel to perform the review?

The trip should be made by persons familiar with the specifications and how vehicles work, such as operations supervisors and mechanics.

When should the review trip be taken?

The trip to conduct the review trip must occur after executing WSDOT's grant and before the bid award.

Can the expense of the trip be charged to the grant?

The review trip is eligible for reimbursement under the grant, provided it occurs after executing WSDOT's grant and before the bid award.

Inspect after delivery

The post delivery inspection verifies that the vehicle(s) was built according to the grantees specifications, has no cosmetic or mechanical defects, and is in compliance with Bus testing, Buy America, and FMVSS.

How should vehicles be titled?

All vehicles purchased must be titled with the grantee as registered owner and WSDOT as the legal owner/lien holder.

How long does WSDOT hold the title?

WSDOT will release vehicle titles or interest in equipment when the equipment's useful life is reached.

WSDOT may release the title earlier if the Grantee wants to surplus the equipment prior to the end of the useful life. However, the grantee is eligible to receive only 20 percent of the current fair market value of the equipment, or the percentage of the grantees contribution to the original project costs. The current fair market value must be determined by an independent appraisal of the equipment.

About the vehicle's useful life

WSDOT determines the useful life of vehicles based on the average amount of time a certain category of vehicle can be used for passenger transportation services. Currently, useful life for certain vehicle categories is described below.

<u>Type of Vehicles</u>	<u>Useful Life</u>
Vans	4 years
Minibuses (4 wheels)	5 years
Minibuses (dual rear wheels) wheelbase up to 158"	6 years
Minibuses (dual rear wheels) wheelbase 159" to 181"	7 years
Small Buses less than 19,000 lbs. GVW	8 years
Buses 19,000 - 24,000 lbs. GVW	9 years
Buses greater than 24,000 lbs. GVW	12 years

- ☛ **Note:** If the equipment's useful life has not been reached when the grantee wants to surplus the equipment, the grantee is eligible to receive only 20 percent of the current fair value of the equipment, or the percentage of the grantees contribution to the project cost.

What about other types of equipment?

Most other types of equipment fall within the small purchasing procedures (items with a unit cost of less than \$25,000). Grantees will be expected to follow their own purchasing procedures. This must, as a minimum, include obtaining written quotes to determine the most reasonable price.

- ☛ **Note:** All grantees purchasing equipment, other than vehicles, will be expected to make good faith efforts to purchase from DBE vendors. See Chapter 1 for more information on this requirement.

Appendix A

Application Form for 5310 Grant Program

Before filling out the application form, be sure that you have read the following chapters of this guide:

- **Chapter 3, “Preparing for a Grant Application”**
- **Chapter 4, “Submitting a Grant Application”**

Chapter 3, “Preparing for a Grant Application,” provides applicants with important background information and requirements for a grant application.

Chapter 4, “Submitting a Grant Application,” provides an explanation on how to fill out your application form, some insights on what types of information should be included, how to assemble the application packet, and tells you where and when to submit an application.

Appendix B

Assurances and Certifications

Appendix B provides blank forms for some of the assurances and certifications that applicants are required to submit with an application for the 5310 Grant Program.

For information on the complete requirements for assurances and certifications, see Chapter 3, “Preparing Your Grant Application.”

Federal Transit Administration Civil Rights Assurances

The _____ HEREBY CERTIFIES THAT, as a condition of receiving Federal financial assistance under 49 USC §5310, it will ensure that:

- No person on the basis of race, color, or national origin will be subjected to discrimination in the level and quality of transportation services and transit-related benefits.
- The _____ will compile, maintain, and submit in a timely manner, Title VI information required by UMTA Circular 4702.1 and in compliance with the Department of Transportation's Title VI regulation, 49 CFR Part 21.9.
- The _____ will make it known to the public that those persons alleging discrimination on the basis of race, color, or national origin as it relates to the provision of transportation services and transit-related benefits may file a complaint with the Federal Transit Administration and/or the U.S. Department of Transportation.

The person whose signature appears below is authorized to sign this assurance on behalf of the grant applicant or recipients.

(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Certification Of Restrictions on Lobbying

I, _____, hereby certify on behalf of
(Name of Agency Official)

_____, that:
(Agency's Legal Name)

- No Federally appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 31, section 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this _____ day of _____, 20_____.

By: _____
(signature of authorized official)

(title of authorized official)

Assurance Concerning Nondiscrimination on the Basis of Disability in Federally Assisted Programs and Activities Receiving or Benefiting from Federal Financial Assistance

As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," at 49 CFR part 27, implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, the Applicant assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Applicant assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, at 49 CFR parts 27, 37, and 38, and any applicable regulations and directives issued by other Federal departments or agencies.

Specifically, the _____ HEREBY ASSURES THAT it will conduct any program or operate any facility so assisted in compliance with all applicable requirements imposed by U.S. Department of Transportation regulations implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, and any subsequent amendments, set forth at 49 C.F.R. Parts 27, 37, and 38, as well as all applicable regulations and directives issued pursuant thereto by other Federal departments or agencies.

(Signature of Authorized Official)

Date: _____

(Title of Authorized Official)

School Transportation Agreement

- A. As required by 49 U.S.C. 5323(F) and FTA regulations, "School bus Operations," at 49 CFR 605.14, the Applicant agrees that it and all its recipients will:
- (1) engage in school transportation operation in competition with private school transportation operators only to the extent permitted by an exception provided by 49 U.S.C. 5323(f), and implementing regulations, and
 - (2) comply with the requirements of 49 CFR part 605 before providing any school transportation using equipment or facilities acquired with Federal assistance authorized by 49 U.S.C. chapter 53 or Title 23 U.S.C. awarded by FTA for transportation projects.
- B. The applicant understands that the requirements of 49 CFR part 605 will apply to any school transportation it provides, the definitions of 49 CFR part 605 apply to this school transportation agreement, and a violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Bus Testing Certification Required for New Buses

As required by FTA regulations, "Bus Testing," at 49 CFR 665.7, the Applicant certifies that before expending any Federal assistance to acquire the first bus of any new bus model or any bus model with a new major change in configuration or components or authorizing final acceptance of that bus (as described in 49 CFR part 665):

- A. The model of the bus will have been tested at a bus testing facility approved by FTA.
- B. It will have received a copy of the test report prepared on the bus model.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Certification Regarding Debarment, Suspension and Other Responsibility Matters

As required by U.S. DOT regulations on Government wide Debarment and suspension (Non-procurement) at

- I. The Applicant certifies to the best of its knowledge and believe, that and its principals
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency
 - (b) Have not within a three-year period preceding this proposal have convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connecting with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or Local) with commission of any of the offenses listed in paragraph (2) of this certification.
 - (d) Have not within a three-year period preceding this certification had one or more public transactions (Federal, State, or Local) terminated for cause or default.
- II. The Applicant also certifies that if, later, it becomes aware of any information contradicting the statements of paragraphs (a) through (d) above, it will promptly provide that information to WSDOT.
- III. If the Applicant is unable to certify to the statements within paragraphs (1) and (2) above, it shall indicate so on its Signature Page and provide a written explanation to WSDOT.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Procurement Compliance

The Applicant certifies that its procurements and procurement system will comply with all applicable requirements imposed by Federal laws, executive orders, or regulations and the requirements of FTA Circular 4220.1D, "Third Party Contracting Requirements," and other implementing requirements FTA may issue. The Applicant certifies that it will include in its contracts financed in whole or in part with FTA assistance all clauses required by Federal laws, executive orders, or regulations, and will ensure that each subrecipient and contractor will also include in its subagreements and contracts financed in whole or in part with FTA assistance all applicable clauses required by Federal laws, executive orders, or regulations.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

**Certification of Pre-Award and Post-Delivery of Rolling Stock Reviews
Required for Each Applicant Seeking to Purchase Rolling Stock
Financed with Federal Assistance from FTA**

As required by 49 U.S.C. 5323(1), and implementing FTA regulations at 49 CFR 663.7, the Applicant certifies that it will comply with the requirements of 49 CFR part 663, in the course of purchasing revenue service rolling stock. Among other things, the Applicant will conduct or cause to be conducted the prescribed pre-award and post-delivery reviews, and will maintain on file the certifications required by 49 CFR part 663, subparts B, C, and D.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Minority Breakdown In Service Area

The Federal Transit Administration is concerned that each state undertake sufficient efforts as required by Title VI of the Civil Rights Act of 1964 to assure that no person, on the grounds of race, color, sex, creed, or national origin, will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in the use of the benefits of any federally assisted program. Each state should make special efforts in the §5310 program to insure non discrimination in program benefits and to ensure that the state's application as a whole addresses the needs of the minority groups within the state.

To ensure conformance with Title VI a breakdown is required by each applicant as to the number of minorities that will benefit from this service.

<u>Minority Group</u>	<u>Number of Clients</u>
Black - A person having origins in any of the black racial groups of Africa.	_____
Hispanic - person of Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.	_____
Asian or Pacific Islander - A person having origins in any of the original people of the Far East, Southeast Asian, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.	_____
American Indian or Alaskan Native - A person having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition	_____

Assurance of Fiscal and Managerial Capability

I hereby certify that, based on my experience with the _____ and review of the organization's records, the organization has the requisite fiscal and managerial capability to carry out this project.

Signed by: _____
(Signature of agency's Chief Financial Officer)

Title: _____
(Title)

Date: _____

Appendix C

Obtaining a WUTC Certificate

To apply for a grant, you must have a certificate

To participate in the 5310 Grant Program, applicants are required to be certified by the Washington Utilities and Transportation Commission (WUTC) as a *private non-profit transportation provider*.

To qualify as a private non-profit transportation provider, the applicant must file proof of its non-profit status and must provide special needs transportation for compensation.

By law, all private, nonprofit transportation providers who meet the above criteria must obtain a certificate from the WUTC and are subject to WUTC rules and regulations, as published in WAC 480-31, with amendments. (This does not apply exclusively to 5310 Grant Program participants.)

How to apply for a certificate

To apply for a certificate, contact the WUTC for an application packet:

Washington Utilities and Transportation Commission
Regulatory Services--Transportation Operations
P.O. Box 47250
Olympia WA 98504-7250
360-753-3111

What does an application packet contain?

- Application for Certificate
- Safety Fitness Survey
- Tariffs (sample forms)
- WAC 480-31, Rules Relating to Private Non-Profit Transportation Providers, and "Your Guide to Achieving a Satisfactory Safety Record"

